

RCRAInfo Universe Information

The RCRA program uses the term “Universe” to categorize hazardous waste facilities for high-level management and reporting purposes. For example, a generator facility may also be a Treatment, Storage, and Disposal facility (TSDF). Therefore it would be in the Handler Universe as well as in the Permitting and Corrective Action Universe.

In most cases, RCRAInfo calculates Universes based on the data entered by Implementers into certain fields in RCRAInfo.

Handler Universes

Handler

The Handler Universes section presents information about a facility. This section appears on the Handler Details screen in the Handler Module of RCRAInfo.

1. Active Status – Shows whether a facility is “active” or “inactive”. For more information, please refer to the following documents:
 - a. *“RCRA Subtitle C Site Activity Status Project Report”* (March 25, 2005, and
 - b. *“RCRA Subtitle C EPA Identification Number, Site Status, and Site Tracking Guidance For Managing Data in RCRAInfo”* (March 21, 2005)

Both of these documents can be accessed from within RCRAInfo using the News Alerts and General Information link to go to the RCRAInfo Documentation link.

There are 5 Handler for each activity category used to determine a site's status:

- a. **H** – Handler
- b. **P** – Permitting
- c. **A** – Corrective Action
- d. **C** – Converter
- e. **S** – State-specific

The order of the identifiers is always HPACS. If the facility doesn't fall into a category, it is denoted by a hyphen. If only ----- appears, then the facility is inactive.

2. Controls in Place – Either a “Y” for Yes or “N” for No. This field indicates if the facility has Institutional Controls (ICs) in place.
3. In a Universe – Either a “Y” for Yes or “N” for No. This field indicates if the facility is in at least 1 Universe.
4. Gen. Status – Generator Status; shows the current generator status for the facility.
 - a. **N** – Not a Generator
 - b. **LQG** – Large Quantity Generator
 - c. **SQG** – Small Quantity Generator
 - d. **CEG** – Conditionally Exempt Small Quantity Generator

5. Transporter – Either a “Y” for Yes or “N” for No.
6. Univ. Waste – Universal Waste; either a “Y” for Yes or “N” for No
7. Recycler – Either a “Y” for Yes or “N” for No
8. Used Oil – Used Oil Activities; Either a “Y” for Yes or “N” for No or “U” for Unknown; shows the status of the following used oil activities; total of 7 activities
 - a. Used Oil Transporter Activity
 - i. Transporter
 - ii. Transfer Facility
 - b. Used Oil Processor and/or Re-refiner Activity
 - i. Processor
 - ii. Refiner
 - c. Off-Specification Used Oil Burner
 - d. Used Oil Fuel Marketer Activity
 - i. Marketer who directs shipment of off-specification used oil to off-specification used oil burner
 - ii. Marketer who first claims the used oil meets the specifications
9. Furnace Exempt – Either a “Y” for Yes or “N” for No or “U” for Unknown
10. Importer – Either a “Y” for Yes or “N” for No or “U” for Unknown
11. Onsite Burner Exempt – Either a “Y” for Yes or “N” for No or “U” for Unknown
12. Mixed Waste Gen. – Either a “Y” for Yes or “N” for No or “U” for Unknown
13. Underground Injection – Either a “Y” for Yes or “N” for No or “U” for Unknown

Permitting and Corrective Action Universes

Site Activity Status

There are 5 TSDF activity status categories. The Handler Details screen shows a single character identifier for each activity status category:

- L** – Land Disposal
- I** – Incinerator
- B** – Boilers and Industrial Furnaces (BIFs)
- S** – Storage
- T** – Treatment

The order of the identifiers is always LIBST. If the facility doesn’t fall into a category, it is denoted by a hyphen. If only ----- appears, then the facility is not a TSDF.

Program Universes

“Table 3: *Legal and Operating Code Matrix for TSD Activities*” from the document, “RCRA Subtitle C Site Activity Status Project Report” (March 25, 2005), presents all the Permitting and Corrective Action Universes according to the legal and operating (LE/OP) status of units at

TSDFs. A copy of this table, along with universe definitions, is presented in the TSDF Universes section at the end of this document. Definitions of these universes can also be found in RCRAInfo Help.

1. Permit Workload – This universe includes units in the permit pipeline as well as units with active permits. The permit pipeline includes any operating facility that is currently permitted or operating under interim status, and any facility with new units that are proposed or are in the process of being constructed. However, operating facilities or facilities under construction that are also non-notifiers are not included in this universe.
2. Closure Workload – This universe includes units that are closing up to the time that closure certification is verified by the agency, and also includes operating facilities or facilities under construction that are also non-notifiers. This universe does not include facilities that have completed closure and that have been certified clean closed or certified closed with waste in place, and those facilities going through post-closure care. In addition, units that have been transferred to Superfund are not included.
3. Post-Closure Workload – This universe includes closing land disposal units and storage units that are closing as landfills up to the time that clean closure certification is verified by the agency. Units that have been transferred to Superfund are not included.
4. Permit Progress – This universe includes all units that are or were at some time subject to the requirement to obtain a RCRA permit to operate as a TSD.

For the following universes, either a “Y” for Yes or “N” for No is shown:

5. CA Workload – This universe is a subset of the Subject to Corrective Action Universe. This universe does not include converters, clean closed or non/late notifiers. All handlers with ongoing corrective action, and handlers where corrective action is statutorily required to be addressed, but have not had corrective action imposed will be included in this universe.
6. Subject to CA – This universe captures all facilities potentially subject to corrective action regardless of whether they have corrective action underway, plus any handlers showing a corrective action event of RFI or beyond. Handlers conducting corrective action under analogous state authorities are also included.
7. Subject to CA – TSD – This universe consists of TSDFs that could potentially be required to address corrective action through the statutory requirements under §3004(u)/(v); it is not driven by the authority used to implement corrective action. It includes interim status facilities that are not clean closed.
8. Subject to CA – Discretion – This universe captures TSDFs where the program may use discretionary authority to require corrective action. These facilities may be subject to enforcement authorities, but are not subject to §3004(u)/(v). It includes clean closed facilities, non-notifiers, abandoned facilities, converters, loss of interim status facilities, and permit-by-rule facilities.
9. Subject to CA – Non-TSD – The universe consists of the RCRA handlers that are **NOT** Treatment, Storage, and/or Disposal (TSD) facilities where corrective action has been

imposed (e.g., generator conducting corrective action under a 7003 order). Handlers are only included in this universe once they've initiated corrective action through an RFI.

Compliance Monitoring and Enforcement (CM&E) and GPRA Universes

Program Universes

1. **Full Enforcement** – This universe captures all TSDFs that are legally subject to TSDF operations and management regulations under RCRA Subtitle C, and includes both currently operating TSDFs as well as closed, but not certified closed TSDFs.
2. **Operating TSDF** – This universe captures every facility that currently has an operating Treatment, Storage, or Disposal unit(s), and is the primary enforcement reporting universe for TSDFs. The Accessibility flag in the Handler module is also checked to indicate that responsible parties have not fled the country or that the RCRA responsibilities have not been transferred to the CERCLA program; if so, the facility is not included.

For the following universes, either a “Y” for Yes or “N” for No is shown:

3. **SNC** – Indicates whether the facility is a Significant Non-complier (SNC).
4. **BOYSNC** – Beginning of Year (BOY) addressed SNC. Is set to “Y” if the Addressed SNC is equal to “Y” on the first day of the current fiscal year.

For the following universe, either a “+” indicates that the facility is on the Permits GPRA 2006 Baseline and meeting the goal or a “-” indicates that the facility is on the Permits GPRA 2006 Baseline and not meeting the goal; An “N” indicates that the facility is not on the Permits GPRA 2006 Baseline.

5. **Permit GPRA** – Updated in 2005, the Permitting Baseline incorporates the 1997 Operating and Post-Closure Permit Baselines, thus including any Treatment, Storage, and/or Disposal Facility (TSDF) that had at least one unit that was operating or needed to obtain an operating permit as of 2005 and any Land Disposal Facility (LDF) that had at least one land disposal unit that ceased operating before 2005, and had not yet clean closed.

For the following universe, either a “+” indicates that the facility is on the Renewals GPRA 2006 Baseline and meeting the goal or a “-” indicates that the facility is on the Renewals GPRA 2006 Baseline and not meeting the goal; An “N” indicates that the facility is not on the Renewals GPRA 2006 Baseline.

6. **Renewals GPRA** – Any Land Disposal Facility (LDF) that had at least one land disposal unit that ceased operating before October 1, 1997, and had not yet clean closed (for example, if a facility had an inactive land disposal unit in 1997, then the facility is included in the GPRA Post-Closure Baseline Universe). Every facility that met the definition for the RCRIS Post-Closure Workload Universe as of October 1, 1997, should be included in the GPRA Post-Closure Baseline Universe.

For the following universe, either a “Y” for Yes or “N” for No is shown:

7. CA GPRA – The 2008 baseline list of facilities that are the highest priority for the Corrective Action program.

CM&E SNC Universes

The SNC Universes section presents information about the facility. The following information is from the CM&E User Guide from RCRAInfo Help. These Universes appear on the CM&E List screen in the Compliance Monitoring and Enforcement Module of RCRAInfo.

1. EPA Unaddressed SNC – Is set to “Y” if the facility is an EPA SNC and does not meet the EPA Addressed SNC definition.
2. EPA Addressed SNC – Is set to “Y” if any of the following conditions are met:
 - The facility is a SNC and the violations linked to the evaluations referred to by the Day Zero date have been addressed by an approved enforcement action. The facility has a SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and all of the violations that are the responsibility of the EPA that are linked to the evaluation referred to by the Day Zero date (i.e., the Day Zero of the SNY Evaluation equals the Evaluation Start Date of other EPA issued evaluations) are linked to an approved formal enforcement action (e.g., 210-219, 310-319, 380, 385, 410-439, 510-519, 530-539, 610-639, 810-869) issued by the EPA with a SNY Date equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the SNY evaluation has been addressed by an approved “orphan” enforcement action. The facility has an SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and an approved formal enforcement action issued by the EPA exists that is not linked to any violation and the SNY date is equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the responsibility has been transferred to the State. The facility has an SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and all of the violations linked to the evaluation(s) referred to by the Day Zero date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other EPA-issued evaluations) are linked to an 820 enforcement action issued by the EPA with an SNY date equal to the Evaluation Start Date of the SNY evaluation.
3. EPA SNC with Compliance Schedule – Is set to “Y” if the facility meets the EPA Addressed SNC definition and all of the violations linked to the SNY evaluation(s) referred to by the Day Zero date have a scheduled compliance date.
4. State Unaddressed SNC – Is set to “Y” if the facility is a State SNC and does not meet the State Addressed SNC definition.
5. State Addressed SNC – Is set to “Y” if any of the following conditions are met:
 - The facility is a SNC and the violation linked to the evaluations referred to by the Day Zero date have been addressed by an approved enforcement action. The facility has

- a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and all of the violations that are the responsibility of the state that are linked to the evaluation(s) referred to by the Day Zero Date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other state-issued evaluations) are linked to an approved formal enforcement action (e.g., 210-219, 310-319, 380, 385, 410-439, 510-519, 530-539, 610-639, 810-869) issued by the state with an SNY Date equal to the Evaluation Start Date of the SNY evaluation.
- The facility is a SNC and the SNY evaluation has been addressed by an approved "orphan" enforcement action. The facility has a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and an approved formal enforcement action issued by the state exists that is not linked to any violation and the SNY date is equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the responsibility has been transferred to EPA. The facility has a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and all of the violations linked to the evaluation(s) referred to by the Day Zero date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other state-issued evaluations) are linked to an 810 enforcement action issued by the state with a SNY date equal to the Evaluation Start Date of the SNY evaluation.
6. State SNC with Compliance Schedule – Is set to “Y” if the facility meets the State Addressed SNC definition and all of the violations linked to the evaluation(s) referred to by the Day Zero date have a scheduled compliance date.

TSDF Universes

In the RCRA program, Treatment, Storage, and Disposal facilities (TSDFs) may fall into the following universes: Regulated TSDf, Full-Enforcement TSDf, Operating TSDf, and Subject to Corrective Action TSDf.

A unit's Legal and Operating Status is the basis for many of the TSDf Universe Calculations. Figure 1 presents these universes and their definitions. The TSDf Program Universes table shows which universes a TSDf may fall into based on a particular Legal and Operating Status code combination. The second part of the table provides the descriptions of the legal status and operating status codes, and the definitions of the Universes.

Figure 1 - TSDF Program Universes

As of 03/25/2005 (From the Site Status Final Report)

OPERATING STATUS CODES																
LEGAL STATUS CODES		OP	CN	UC	BC	IN	CC	CP	CO	DC	CV	CR	AB	SF	PF	CA
	PI	R 1234 678	R 34 678	R 34 678	R 34 678	R 1 34 67 9A	3 5 7	R 1 34 67 A	3 5 7	R 1 34 67 9A	R 3 56 9A	7	R0 3 567 9A	3 7		R 1 34567
	PC	R 1 34 67	0 34 67	0 34 67	0 34 67	R 1 34 67 9A	3 5 7	R 1 34 67 A	3 5 7	R 1 34 67 9A	R0 3 5 7 9A	0 7	R0 3 567 9A	3 7	0	R 1 34567
	PT	R 1 7	7	7	7	R 1 7 9A	7	R 1 7 A	7	R01 7 9A	V 7 9A	7	R 7 9A	7		R 4
	PR	7	78	78	78	7	7	7	0 7	0 7	0 7	7	7	0 7		0
	IS	R 1234 678	R 34 678	0 34 678	34 678	R 1 34 67 9A	3 5 7	R 1 34 67 A	3 5 7	R 1 34 67 9A	V 3 5 7 9A	7	R 3 567 9A	3 7		R 1 34567
	LI	R 1 34 67	0 34 67	0 34 67	0 34 67	R01 34 67 9A	3 5 7	R 1 34 67 A	3 5 7	R 1 34 67 9A	V 3 5 7 9A	7	R 3 567 9A	3 7		R 1 34567
	IT	R 1 7	7	0 7	7	R 1 7 9A	7	R 1 7 A	7	R 1 7 9A	V 7 9A	7	R 7 9A	7		R 1 7
	TA	R 1234 678	34 678	34 678	34 678	R01 34 67 9A	3 5 7	R01234 67 A	0 3 5 7	R01 34 67 9A	R0 3 5 7 9A	7	R0 3 567 9A	0 3 7	0	R0 45
	PM	R 1234 678	34 678	34 678	34 678	R 1 34 67 9A	3 5 7	R 1 34 67 A	0 3 5 7	R01 34 67 9A	R0 3 5 7 9A	0 7	R0 3 567 9A	0 3 7	0	R0 45
	LP	R01234 67	0 34 67	0 34 67	0 34 67	R01 34 67 9A	0 3 5 7	R 1 34 67 A	0 3 5 7	R01 34 67 9A	V0 3 5 7 9A	0 7	R0 3 567 9A	0 3 7	0	R0 45
	NN	R 123 5 7 9	3 5 7 9	0 3 5 7 9	0 3 5 7 9	R01 3 5 7 9A	3 5 7	R 1 3 5 7 A	0 3 5 7	R01 345 7 9A	V0 3 5 7 9A	7	R 3 5 7 9A	3 7		R 1 3 567
	RQ	R 12 78	78	78	78	R 1 7	7	R 1 7	0 7	R 7	V 7	0 7	R 7	0 7		R0
	NR			0	0				0				0			
	DL	7	0 7	0 7	0 7	7	7	7	0 7	0 7	7	7	7	0 7		
	RD	R 12				R 1		R 1	0	R01	R0		R0	0		R0
	RU	R 1 3	3	0 3	0 3	R01 3	3	R01 3	0 3	R01 3	V 3		R0 3	0 3		R 5
	EM	R 12	0	0	0	R01		R01		R01	R		R			R0
	SR	S		0	0	S		S	0	S0	S		S0			0

Universes:

R - Regulated TSDF (new)

S - State-regulated TSDF (new)

V - Converter (new)

0 - No units have this status in RCRAInfo data

1 - Full Enforcement Universe

2 - Operating TSDF Universe

3 - Subject to Corrective Action Universe

4 - TSDFs Potentially Subject to Corrective Action Under 3004(u)(v)

5 - TSDFs that EPA May Subject to Corrective Action Under Authorities Other Than Section 3004(u)(v)

6 - Corrective Action Workload Universe

7 - Permitting/Closure/Post-Closure Progress Universe

8 - Permit Workload Universe

9 - Closure Workload Universe

A - Post-Closure Workload Universe

LEGAL STATUS CODES

DL	Delisted
EM	Emergency Permit
IS	Interim Status
IT	Interim Status Terminated
LI	Loss of Interim Status
LP	Loss of Pre-Mod Authorization
NN	Non-Notifier/Illegal
NR	Never Regulated as a TSD
PC	Post-Closure Permitted
PI	Permitted
PM	Pre-Mod Authorization
PR	Proposed
PT	Permit Terminated/Permit Expired, not Continued
RD	Research, Development, and Demonstration Permit
RU	Permit-by-Rule
SR	State Regulated
TA	Temporary Authorization

OPERATING STATUS CODES

AB	Abandoned
BC	Before Construction
CA	Referred to Corrective Action for Closure
CC	Clean Closed
CN	Constructed, Not Yet Managing Hazardous Waste
CO	Completed Post-Closure Care
CP	Closed with Waste in Place
CR	Conducting Activities not Requiring a Permit
CV	Converted but Not RCRA Closed
DC	Delay of Closure
IN	Inactive/Closing, but not Yet RCRA Closed
OP	Operating, Actively Managing RCRA-Regulated Waste
PF	Protective Filer
SF	Referred to CERCLA
UC	Under Construction

PROGRAM UNIVERSE DESCRIPTIONS

1. **Regulated TSDF** Indicates an active TSD unit. If at least one unit is in this universe, then the site is an active TSDF. If no unit at a site is so marked, then the site has no TSD activities and is considered inactive. This definition is subject to change based on any future recommendation from the PCA PAA.
2. **State-regulated TSDF** A state permitted unit that is not subject to federal RCRA permit requirements, but is regulated under state standards (i.e., state requirements that are not considered part of the state authorized hazardous program), is indicated in RCRAInfo by giving the unit a legal status of "State Regulated TSDF". This definition is subject to change based on any future recommendation from the PCA PAA.
3. **Converter** In the past, some owner/operators converted TSD units to conduct only hazardous waste activities that do not require a permit (e.g., less than 90 days storage, totally enclosed treatment), and were required to clean close the units but did not do so. These owners/operators may claim a converter unit as both an active TSD unit (because it has not fulfilled its obligation to clean close) and an inactive TSD unit (because it does not conduct TSD activities and, in some cases, went through public hearing and clean up at the time of conversion).
4. **Full Enforcement Universe** (*formerly Subject to CEI universe*) This universe captures all TSDFs that are legally subject to TSDF operations and management regulations under RCRA Subtitle C, and includes both currently operating TSDFs as well as closed but not certified close TSDFs.
5. **Operating TSDF Universe** This universe captures every facility that currently has an operating Treatment, Storage, or Disposal unit(s), and is the primary enforcement reporting universe for TSDFs. The Accessibility flag in the Handler module is also checked to indicate that responsible parties have not fled the country or that the RCRA responsibilities have not been transferred to the CERCLA program; if so, the facility is not included.
6. **Subject to Corrective Action Universe** This universe captures all facilities potentially subject to corrective action regardless of whether they have corrective action underway, plus any handlers showing a corrective action event for RFI or beyond. Handlers conducting corrective action under analogous state authorities are also included.
7. **TSDFs Potentially Subject to Corrective Action Under §3005(u)/(v)** This universe consists of TSDFs that could *potentially* be required to address corrective action through the statutory requirements under §3005(u)/(v); it is not driven by the authority used to *implement* corrective action. It includes interim status facilities that are not clean closed.
8. **TSDFs that EPA May Subject to Corrective Action Under Authorities Other than Section §3004(u)/(v)** This universe captures TSDFs where the program may use discretionary authority to require corrective action. These facilities may be subject to enforcement authorities, but are not subject to §3004(u)/(v). It includes clean closed facilities, non-notifiers, abandoned facilities, converters, loss of interim status facilities, and permit-by-rule facilities.
9. **Corrective Action Workload Universe** This universe is a subset of the Subject to Corrective Action Universe. This universe does not include converters, clean closed or non/late notifiers. All handlers with ongoing corrective action, and handlers where corrective action is statutorily required to be addressed, but have not had corrective action imposed will be included in this universe.
10. **Permitting/Closure/Post-Closure Progress Universe** This universe includes all units that are or were at some time subject to the requirement to obtain a RCRA permit to operate as a TSD.
11. **Permit Workload Universe** This universe includes units in the permit pipeline as well as units with active permits. The permit pipeline includes any operating facility that is currently permitted or operating under interim status, and any facility with new units that are proposed or in the process of being constructed. However, operating facilities or facilities under construction that are also non-notifiers are not included in this universe.
12. **Closure Workload Universe** This universe includes units that are closing up to the time that closure certification is verified by the agency, and also includes operating facilities or facilities under construction that are also non-notifiers. This universe does not include facilities that have completed closure and that have been certified clean closed or certified closed with waste in place, and those facilities going through post-closure care. In addition, units that have been transferred to Superfund are not included.
13. **Post Closure Workload Universe** This universe includes closing land disposal units and storage units closing as landfills up to the time that clean closure certification is verified by the agency. Units that have been transferred to Superfund are not included.